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PTO/SB/21 (6-99)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|---|----|-------------------------------|--------------------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) |    | <b>Application Number</b>     | 09/966,147         |
|   |    | <b>Filing Date</b>            | September 27, 2001 |
|   |    | <b>First Named Inventor</b>   | Presta, et al.     |
|   |    | <b>Group/Art Unit</b>         | 1642               |
|   |    | <b>Examiner Name</b>          | Ungar, Susan N.    |
| <b>Total Number of Pages in This Submission</b>                                     | 10 | <b>Attorney Docket Number</b> | 39766-0033CPC4C    |

| ENCLOSURES (check all that apply)  |   |   |
|--|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Small Entity Statement<br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):<br>stamped return postcard |
| <input checked="" type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Version with Markings Showing Changes<br><input type="checkbox"/> Affidavits/declaration(s)<br><input checked="" type="checkbox"/> Extension of Time Request (1-month)<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <b>Remarks</b><br><br><b>AUTHORIZATION TO CHARGE DEPOSIT ACCOUNT 08-1641 FOR ANY FEES DUE IN CONNECTION WITH THIS PAPER.</b>  |   |

| SIGNATURE OF APPLICANT, ATTORNEY OR AGENT |  |                         |       |
|---|--|-------------------------|-------|
| <b>Firm or Individual name</b>            | Ginger R. Dreger, Reg. No. 33,055, HELLER EHRMAN WHITE & McAULIFFE LLP |                         |       |
| <b>Signature</b>                          |  |                         |       |
| <b>Date</b>                               | May 13, 2004   | <b>Customer Number:</b> | 25213 |

| CERTIFICATE OF EXPRESS MAILING  |                   |             |              |
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| Express Mail Label <b>EL 993 689 939 US</b>   |                   |             |              |
| <b>Typed or printed name</b>  | Cheryl Ann Rogers |             |              |
| <b>Signature</b>  |                   | <b>Date</b> | May 13, 2004 |

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# FEE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 110.00

## Complete if Known

Application Number 09/996,147  
Filing Date September 27, 2001  
First Named Inventor Presta, et al.  
Examiner Name Ungar, Susan N.  
Art Unit 1642  
Attorney Docket No. 39766-0033CPC4C

## METHOD OF PAYMENT (check one)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

### Deposit Account:

Deposit Account Number 08-1641 (Docket No. 39766-0033CPC4C)

Deposit Account Name Heller Ehrman White & McAuliffe LLP

The Commissioner is authorized to: (check all that apply)

- ☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 1001           | 770             | 2001           | 385             | Utility filing fee     |          |
| 1002           | 340             | 2002           | 170             | Design filing fee      |          |
| 1003           | 530             | 2003           | 265             | Plant filing fee       |          |
| 1004           | 770             | 2004           | 385             | Reissue filing fee     |          |
| 1005           | 160             | 2005           | 80              | Provisional filing fee |          |

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|                    |  | Extra Claims | Fee from below | Fee Paid |
|--------------------|--|--------------|----------------|----------|
| Total Claims       |  | -20** =      | x              | =        |
| Independent Claims |  | -3** =       | x              | =        |
| Multiple Dependent |  |              | =              | =        |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description   |
|----------------|-----------------|----------------|-----------------|---|
| 1202           | 18              | 2202           | 9               | Claims in excess of 20                                    |
| 1201           | 86              | 2201           | 43              | Independent claims in excess of 3                         |
| 1203           | 290             | 2203           | 145             | Multiple dependent claim, if not paid                     |
| 1204           | 86              | 2204           | 43              | **Reissue independent claims over original patent         |
| 1205           | 18              | 2205           | 9               | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|----------------|-----------------|----------------|-----------------|--|----------|
| 1051           | 130             | 2051           | 65              | Surcharge - late filing fee or oath  |          |
| 1052           | 50              | 2052           | 25              | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053           | 130             | 1053           | 130             | Non-English specification  |          |
| 1812           | 2,520           | 1812           | 2,520           | For filing a request for ex parte reexamination                            |          |
| 1804           | 920*            | 1804           | 920*            | Requesting publication of SIR prior to Examiner action                     |          |
| 1805           | 1,840*          | 1805           | 1,840*          | Requesting publication of SIR after Examiner action                        |          |
| 1251           | 110             | 2251           | 55              | Extension for reply within first month                                     | 110.00   |
| 1252           | 420             | 2252           | 210             | Extension for reply within second month                                    |          |
| 1253           | 950             | 2253           | 475             | Extension for reply within third month                                     |          |
| 1254           | 1,480           | 2254           | 740             | Extension for reply within fourth month                                    |          |
| 1255           | 2,010           | 2255           | 1,005           | Extension for reply within fifth month                                     |          |
| 1401           | 330             | 2401           | 165             | Notice of Appeal   |          |
| 1402           | 330             | 2402           | 165             | Filing a brief in support of an appeal                                     |          |
| 1403           | 290             | 2403           | 145             | Request for oral hearing   |          |
| 1451           | 1,510           | 1451           | 1,510           | Petition to institute a public use proceeding                              |          |
| 1452           | 110             | 2452           | 55              | Petition to revive - unavoidable   |          |
| 1453           | 1,330           | 2453           | 665             | Petition to revive - unintentional   |          |
| 1501           | 1,330           | 2501           | 665             | Utility issue fee (or reissue)   |          |
| 1502           | 480             | 2502           | 240             | Design issue fee   |          |
| 1503           | 640             | 2503           | 320             | Plant issue fee  |          |
| 1460           | 130             | 1460           | 130             | Petitions to the Commissioner  |          |
| 1807           | 50              | 1807           | 50              | Processing fee under 37 CFR 1.17(q)  |          |
| 1806           | 180             | 1806           | 180             | Submission of Information Disclosure Stmt                                  |          |
| 8021           | 40              | 8021           | 40              | Recording each patent assignment per property (times number of properties) |          |
| 1809           | 770             | 2809           | 385             | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810           | 770             | 2810           | 385             | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801           | 770             | 2801           | 385             | Request for Continued Examination (RCE)                                    |          |
| 1802           | 900             | 1802           | 900             | Request for expedited examination of a design application                  |          |

Other fee (specify)

\* Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 110.00)

## SUBMITTED BY

| Name (Print/Type) | Ginger R. Dreger, Esq. | Registration No. (Attorney/Agent) | 33,055       | Telephone    | 650-324-7000 |
|-------------------|------------------------|-----------------------------------|--------------|--------------|--------------|
| Signature         |                        | Date                              | May 13, 2004 | Customer No. | 25213        |

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop 1, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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5-17-04

1642/11

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Presta et al. Attorney Docket #: 39766-0033CPC4C  
Serial No. 09/966,147 Group Art Unit 1642  
Filing Date 09/27/2001 Examiner: Susan Ungar  
Title: HUMAN trk RECEPTORS AND NEUROTROPHIC FACTOR INHIBITORS

**AMENDMENT AND RESPONSE TO OFFICE ACTION**

**MS: AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

In response to the Office Action mailed on January 15, 2004, in connection with the above-identified patent application, please enter the following amendments, and consider the following arguments. This response is timely filed with a one-month extension of time.

**Amendments to the Specification** begin on page 2 of this paper.

**Amendments to the Claims** begin on page 3 of this paper.

**Remarks/Arguments** begin on page 5 of this paper.

**CERTIFICATE OF MAILING (37 CFR 1.10(a))**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" - Rule 10: I hereby certify that this correspondence is being deposited on May 13, 2004 with the U.S. Postal Service "Express Mail Post Office to Addressee" under 37 CFR 1.10 as Express Mail No. **EL 993 689 939 US** addressed to: Mail Stop: AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: May 13, 2004

*Cheryl Ann Rogers*  
Cheryl Ann Rogers

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